

PTO/SB/21 (08-03)

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**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number 10/677,565

Filing Date 10-02-2003

First Named Inventor Jonathan M. Rich

Art Unit

Examiner Name

Attorney Docket Number SEH 026 P2

ENCLOSURES (Check all that apply)

- | | | |
|--|---|---|
| <input type="checkbox"/> Fee Transmittal Form | <input type="checkbox"/> Drawing(s) | <input type="checkbox"/> After Allowance communication to Technology Center (TC) |
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| <input type="checkbox"/> Certified Copy of Priority Document(s) | <input type="checkbox"/> CD, Number of CD(s) _____ | |
| <input type="checkbox"/> Response to Missing Parts/Incomplete Application | Remarks | |
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SIGNATURE OF APPLICANT, ATTORNEY, OR AGENTFirm or Individual name MATTHEW R. JENKINS, ESQ.
JACOX, MECKSTROTH & JENKINS

Signature

Date

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

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Date

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>			Complete if Known	
			Application Number	10/677,565
			Filing Date	October 2, 2003
			First Named Inventor	Jonathan M. Rich
			Art Unit	
			Examiner Name	
			Attorney Docket Number	SEH 026 P2
Sheet	1	of		

U.S. PATENT DOCUMENTS					
Examiner Initials ¹	Cite No. ¹	Document Number	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number- Kind Code ² (if known)	MM-DD-YYYY		
		us- 2,690,248	09-28-1954	McDowall	
		us- 2,850,118	09-02-1958	Byers	
		us- 3,042,168	07-03-1962	Binder	
		us- 3,094,194	06-18-1963	Kershner	
		us- 3,198,295	08-03-1965	Fangman et al.	
		us- 3,250,349	05-10-1966	Byrnes et al.	
		us- 3,412,836	11-26-1968	Wilmer	
		us- 3,491,865	01-27-1970	Stockton	
		us- 3,534,842	10-20-1970	Davison, Jr.	
		us- 3,871,934	03-18-1975	Marin	
		us- 3,885,659	05-27-1975	Smith	
		us- 3,927,241	12-16-1975	Augustin	
		us- 3,937,303	02-10-1976	Allen et al.	
		us- 4,027,758	06-07-1977	Gustavsson et al.	
		us- 4,139,085	02-13-1979	Kanbe et al.	
		us- 4,260,047	04-07-1981	Nels	
		us- 4,267,912	05-19-1981	Bauer et al.	
		us- 4,291,794	09-29-1981	Bauer	
		us- 4,396,100	08-02-1983	Eltze	
		us- 4,449,621	05-22-1984	F'Gennert	

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Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² See Kind Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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Substitution for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>			Complete if Known		
			Application Number	10/677,565	
			Filing Date	October 2, 2003	
			First Named Inventor	Jonathan M. Rich	
			Art Unit		
			Examiner Name		
			Attorney Docket Number	SEH 026 P2	
Sheet	2	of			

U.S. PATENT DOCUMENTS					
Examiner Initials ¹	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code ² (if known)			
		US- 4,674,616	06-23-1987	Mannino, Jr.	
		US- 4,726,455	02-23-1988	East	
		US- 4,770,283	09-13-1988	Putz et al.	
		US- 4,878,282	11-07-1989	Bauer	
		US-4,913,267	04-03-1990	Campbell et al.	
		US- 4,917,743	04-17-1990	Gramberger et al.	
		US- 4,995,500	02-26-1991	Payvar	
		US- 5,038,628	08-13-1991	Kayama	
		US- 5,076,882	12-31-1991	Oyanagi et al.	
		US-5,094,331	03-10-1992	Fujimoto et al.	
		US- 5,101,953	04-07-1992	Payvar	
		US- 5,134,005	07-28-1992	Wada et al.	
		US- 5,143,192	09-01-1992	Vojacek et al.	
		US- 5,176,236	01-05-1993	Ghidorzi et al.	
		US- 5,207,305	05-04-1993	Iverson	
		US- 5,332,075	07-26-1994	Quigley et al.	
		US- 5,335,765	08-09-1994	Takakura et al.	
		US- 5,439,087	08-08-1995	Umezawa	
		US- 5,454,454	10-03-1995	Easton et al.	
		US- 5,460,255	10-24-1995	Quigley	

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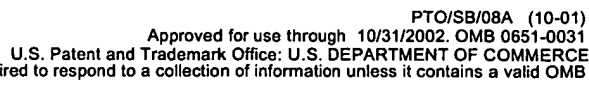
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1 Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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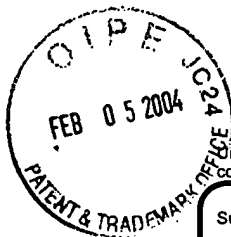


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Attorney Docket Number	SEH 026 P2
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Substitute for form 1449B/PTO		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Application Number	10/677,565
		Filing Date	October 2, 2003
		First Named Inventor	Jonathan M. Rich
		Group Art Unit	
		Examiner Name	
Sheet 6 of		Attorney Docket Number	SEH 026 P2

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		Select Powertrain Technologies. Design Review of Daimler Chrysler TCC Carbon Friction Facing. 19 Nov. 2001.	
		Select Powertrain Technologies Corp. Tremec – Select Open Issue. 2 Feb. 2002.	

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached.

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of

Inventor(s) : Jonathan M. Rich, et al.
Serial No. : 10/677,565
Filed : October 2, 2003
Title : FRICTION FACING
MATERIAL FOR
USE IN A FRICTION
ENVIRONMENT

Group :
Docket : SEH 026 P2

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Rebecca Lantis
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Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR §1.97(b)

Pursuant to the provisions of 37 CFR §1.97(b), Applicant(s) wishes to disclose the materials listed below and on the attached form PTO/SB/08A which the Examiner may find relevant to the examination of the above-identified patent application. Copies of the non-patent references are enclosed herewith.

<u>Patent No.</u>	<u>Issued</u>	<u>Inventor</u>	<u>Title</u>
2,690,248	9/28/54	McDowall	Clutch Plate With Grooves For Lubricant or Coolant
2,850,118	9/2/58	Byers	Brake Having a Non-Fusing Brake Element
3,042,168	7/3/62	Binder	Friction Coupling
3,094,194	6/18/63	Kershner	Friction Device
3,198,295	8/3/65	Fangman et al.	Friction Couple Cooling Device
3,250,349	5/10/66	Byrnes et al.	Disc Brake
3,412,836	11/26/68	Wilmer	Friction Disc of Segmented Elements
3,491,865	1/27/70	Stockton	Clutch Structure With Segmented Clutch Plates
3,534,842	10/20/70	Davison, Jr.	Lubricated Friction Device

3,871,934	3/18/75	Marin	Resurfacing Brake Discs
3,885,659	5/27/75	Smith	Segmental Friction Member For Brake Or Clutch
3,927,241	12/16/75	Augustin	Friction Elements Running In Oil
3,937,303	2/10/76	Allen et al.	Friction Plates
4,027,758	6/7/77	Gustavsson et al.	Wet Disc Clutch And Method Of Force Cooling The Same
4,139,085	2/13/79	Kanbe et al.	Dry Disc-Type Clutch
4,260,047	4/7/81	Nels	Friction Disc and Method of Making Same
4,267,912	5/19/81	Bauer et al.	Synchronizing Ring
4,291,794	9/29/81	Bauer	Power Transmission and Energy Absorbing Systems
4,396,100	8/2/83	Eltze	Friction Lining For Multiple-Disk Clutches Or Multiple-Disk Brakes
4,449,621	5/22/84	F'Geppert	Segmented Clutch Plates
4,674,616	6/23/87	Mannino, Jr.	Friction Disc With Segmented Core Plate and Facings
4,726,455	2/23/88	East	Clutch Facings
4,770,283	9/13/88	Pütz et al.	Friction Ring for Clutches or Brakes, and a Method and Device For Producing the Friction Ring
4,878,282	11/7/89	Bauer	Method For the Production of Friction Plates, Synchronizing Blocker Rings or Similar Structures
4,913,267	4/3/90	Campbell et al.	Vehicle Disc Brakes Of The Liquid Cooled Type
4,917,743	4/17/90	Gramberger et al.	Method For Manufacturing a Friction Ring Having a Conical or Cylindrical Friction Surface

4,995,500	2/26/91	Payvar	Groove Pattern For High Thermal Capacity Wet Clutch
5,038,628	8/13/91	Kayama	Synchronizer Ring For Synchronous Meshing Type Speed Change Gear
5,076,882	12/31/91	Oyanagi et al.	Shaping Apparatus For a Synchronizer Ring
5,094,331	3/10/92	Fujimoto et al.	Wet-Type Multiplate Clutch
5,101,953	4/7/92	Payvar	High Capacity Viscous Pumping Groove Pattern For a Wet Clutch
5,134,005	7/28/92	Wada et al.	Friction Element For Operating in Fluid
5,143,192	9/1/92	Vojacek et al.	Friction Clutch or Friction Brake
5,176,236	1/5/93	Ghidorzi et al.	Facing Material For Wet Clutch Plate and Methods For Fabricating and Applying Same
5,207,305	5/4/93	Iverson	Method and Apparatus For Incorporating Hydrodynamic Film to Transfer or Retard Motion and Dissipate Heat
5,332,075	7/26/94	Quigley et al.	Friction Disc With Segmented Friction Facing
5,335,765	8/9/94	Takakura et al.	Wet-Type Friction Member With Grooves Shaped For Improved Oil Film Removing Effect
5,439,087	8/8/95	Umezawa	Wet-Type Multi-Plate Frictional Engagement Apparatus
5,454,454	10/03/95	Easton et al.	Polygonal Friction Disk and Method
5,460,255	10/24/95	Quigley	Universal Segmented Friction Clutch Facing
5,495,927	3/5/96	Samie et al.	Controlled Cooling Apparatus For Torque Transfer Devices

5,551,549	9/3/96	Cooke et al.	Friction Facing and Carrier Assembly
5,566,802	10/22/96	Kirkwood	Continuous Slip Hydrokinetic Torque Converter Clutch Interface With Circuitous Groove For Cooling and Wetting Clutch Interface Zone
5,615,758	4/1/97	Nels	Fabric Arrangement and Method For Controlling Fluid Flow
5,660,259	8/26/97	Peng et al.	Groove Structure of Wet-Type Friction Engaging Element
5,669,474	9/23/97	Dehrmann et al.	Hydrodynamic Torque Converter With Lock-Up Clutch
5,671,835	9/30/97	Tanaka et al.	Wet Friction Member
5,682,971	11/4/97	Takakura et al.	Friction Plate For High Oil Passage and Cooling
5,776,288	7/7/98	Stefanutti et al.	Method and Apparatus For Lined Clutch Plate
5,799,763	9/1/98	Dehrmann	Lock-Up Clutch of a Hydrodynamic Torque Converter
5,819,888	10/13/98	Tamura et al.	Friction Plates For Friction Type Coupling Device
5,842,551	12/1/98	Nels	Fabric Arrangement and Method For Controlling Fluid Flow
5,858,511	1/12/99	Lisowsky	Grooved Friction Material, Method of Making Same, and Wet Friction Member Using Grooved Friction Material
5,878,860	3/9/99	Pavangat et al.	Plate and Facing Assembly
5,897,737	4/27/99	Quigley	Method For Making a Core Plate Having Multiple Friction Material Segments

5,921,366	7/13/99	Walth et al.	Friction Element For Use in Clutches
5,934,435	8/10/99	Bauer	Disc Assembly
5,954,172	9/21/99	Mori	Friction Facing in Slip-Controlled Lockup Clutch Configuration
5,975,260	11/2/99	Fischer et al.	Hydrokinetic Torque Converter With Bypass Clutch Having Grooved Friction Lining
5,998,311	12/7/99	Nels	Fabric Arrangement and Method For Controlling Fluid Flow
6,019,205	2/1/00	Willwerth et al.	Method and Apparatus For Lined Clutch Plate
6,035,991	3/14/00	Willwerth et al.	Blocked Slot Clutch Plate Lining
6,036,903	3/14/00	Kierbel et al.	Method of Making an Annular Friction Liner
6,047,806	4/11/00	Sasse	Hydrodynamic Torque Converter With Depressions in the Extension Area of the Friction Linings
6,062,367	5/16/00	Hirayanagi et al.	Friction Plate
6,065,579	5/23/00	Nels	Synchronizer Blocker Rings Used in Manual Transmissions
6,135,256	10/24/00	Han et al.	Wet Friction Disc Clutch
6,145,645	11/14/00	Kroll et al.	Disk Assembly
6,170,629	1/9/01	Suzuki et al.	Friction Plate
6,203,649	3/20/01	Kremsmair et al.	Method of Manufacturing a Flat Friction Ring
6,213,273	4/10/01	Menard et al.	Friction Liner Having a Network of Grooves, For a Clutch
6,247,568	6/19/01	Takashima et al.	Friction Member For Disk Assembly, Especially For Torque Converter

6,273,228	8/14/01	Otto et al.	Hydrokinetic Torque Converter and Lockup Clutch Therefor
6,290,046	9/18/01	Menard et al.	Friction Liner Having A Network Of Grooves, For a Clutch
6,293,382	9/25/01	Nishide et al.	Friction Plate For Wet Clutch
6,345,711	2/12/02	Sullivan	Segmented Friction Member
6,370,755	4/16/02	Wakamori	Method For Producing a Friction Plate
6,397,997	6/4/02	Kato	Friction Engaging Device
6,409,006	6/25/02	Wakamori et al.	Friction Plate
6,439,363	8/27/02	Nels	Fabric Arrangement and Method for Controlling Fluid Flow
6,454,072	9/24/02	Merkel et al.	Annular Friction-Clutch Facing For a Multi-Disk Clutch
6,497,312	12/24/02	Sasse et al.	Hydrodynamic Coupling Device
6,499,579	12/31/02	Ono et al.	Wet Type Friction Member
6,557,685	5/6/03	Hattori	Multiple Lockup Clutch and Torque Converter With the Same Clutch Incorporated Therein
6,581,740	6/24/03	Szalony	Multiple Disc Clutch Pack Having Rheological Film Layer
6,601,684	8/5/03	Collis et al.	Unitary, Circumferentially Edge Wound Friction Material Clutch Plate, and Method of Making Same

Non-Patent References:

Select Powertrain Technologies. *Design Review of Daimler Chrysler TCC Carbon Friction Facing*. 19 Nov. 2001. A disclosure of November 19, 2001, showing groove design having features as shown on pages 3 – 8, and groove dimension calculations on pages 9 and 10.

Select Powertrain Technologies Corp. *Tremec – Select Open Issue*. 2 Feb. 2002. A Quotation to a customer regarding TR-4050 Groove Design. Page 3 suggests use of a bonded material (such as shown in View E of page. 2 of the quote) with three variations. Column 1, page 3 suggests bonded material with channels created by bonding through the material and plate. Column 2, page 3, suggests bonded material with a pressed axial groove. Column 3 suggests bonded material with grooves and a pressed axial groove as shown in Views B and E of page 2.

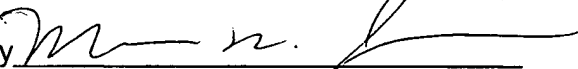
The filing of this Information Disclosure Statement shall not be construed to be an admission that the information cited in the statement is, or is considered to be, material to patentability as defined in §1.56(b). By filing this statement, Applicant(s) is not making any representation as to whether any of the references referred to herein are material. Further, Applicant(s) cites these references without prejudice, and Applicant(s) reserves the right to contest the status of these references as prior art.

Although Applicant(s) believes that no fee is required by filing this statement, the Commissioner is authorized to charge any required fee to **Deposit Account 50-1287**.

(Should **Deposit Account 50-1287** be deficient, please charge any further deficiencies to Deposit Account 10-0220).

Respectfully submitted,

JACOX, MECKSTROTH & JENKINS

By 

Matthew R. Jenkins

Reg. No. 34,844

2310 Far Hills Building
Dayton, Ohio 45419-1575
A.C. 937: 298-2811

January 16, 2004